

08/13/01

10/15 U.S. PTO

Please type a plus sign (+) inside this box



08-15-01

PTO/SB/05 (2/98)

A

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Attorney Docket No.

500199.05

August 13, 2001

First Inventor or Application Identifier

Scott E. Moore

Title

**METHOD AND APPARATUS FOR PLANARIZING A  
MICROELECTRONIC SUBSTRATE WITH A TILTED PLANARIZING  
SURFACE**

(Only for nonprovisional applications under 37 CFR § 1.53(b))

Express Mail Label No.

EL 673946309 US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**

Box Patent Application  
Commissioner of Patents  
Washington, D.C. 20231

1. ☒ Fee Transmittal Sheet  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant(s) Claim(s) Small Entity Status

3. ☒ Specification [Total Pages] **33**  
(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ Drawing(s) (35 USC 113) [Total Sheets] **6**

5. ☒ Oath or Declaration [Total Pages] **1**

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer  
Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer-Readable Form (CRF)

b. ☐ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper

c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)

10. ☐ Assignment Papers (cover sheet & document(s))

11. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney

12. ☐ English Translation Document (if applicable)

13. ☒ Preliminary Amendment Total Pages **2**

14. ☒ Return Receipt Postcard

15. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

16. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

17. ☒ Other: Certificate of Express Mail; Check;  
General Authorization; Copy of Revocation &  
Substitute Power of Attorney

18. **If a CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment

☒ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) of prior Application No.: 09/388,828 Filed September 1, 1999

Prior application information: Examiner Willie Berry, Jr. Group / Art Unit 3700/3723

☒ **Incorporation By Reference** (useable if box 5b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

**CORRESPONDENCE ADDRESS**

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TYPED or PRINTED NAME Steven H. Arterberry

REGISTRATION NO. 46,314

SIGNATURE Steven Arterberry

Date 8/13/01

# FEE TRANSMITTAL SHEET (FOR FY 2001)

## Complete if Known

Express Mail No.	EL 673946309 US
Filing Date	Concurrently Herewith
First Named Inventor	Scott E. Moore
Group Art Unit	Not Yet Assigned
Examiner	Not Yet Assigned
Atty. Docket Number	500199.05

### METHOD OF PAYMENT (Check One)

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
101	710	201	355	<input checked="" type="checkbox"/> Utility Filing Fee
106	320	206	160	<input type="checkbox"/> Design Filing Fee
108	710	208	355	<input type="checkbox"/> Reissue Filing Fee
114	150	214	75	<input type="checkbox"/> Provisional Filing Fee
<b>Subtotal (1)</b>				<b>\$ 710</b>

#### 2. EXTRA CLAIM FEES

Current Claims	Prior	Extra	Fee	Fee Paid
Total	21	- 20 = 1	x \$ 18 =	\$ 18
Ind	3	- 3 = 0	x \$ 80 =	\$ 0
Multiple Dependent Claims				\$ 0
<b>Subtotal (2)</b>				<b>\$ 18</b>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent Claim
109	80	209	40	Reissue independent claims over original patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

### FEE CALCULATION (Continued)

#### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - Late filing fee or oath	\$
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$
139	130	139	130	Non-English specification	\$
147	2,520	147	2,520	For Filing a Request for Reexamination	\$
115	110	215	55	Extension for reply within first month	\$
116	390	216	195	Extension for reply within 2 <sup>nd</sup> month	\$
117	890	217	445	Extension for reply within 3 <sup>rd</sup> month	\$
118	1,390	218	695	Extension for reply within 4 <sup>th</sup> month	\$
128	1,890	228	945	Extension for reply within 5 <sup>th</sup> month	\$
120	310	220	155	Filing a brief in support of an appeal	\$
121	260	270	135	Request for oral hearing	\$
148	110	248	55	Terminal Disclaimer Fee	\$
140	10	240	55	Petition to revive - unavoidable	\$
141	1,240	241	620	Petition to revive - unintentional	\$
142	1,240	242	620	Utility/Reissue issue fee (+ advance copies)	\$
143	440	243	220	Design issue fee (+ advance copies)	\$
122	130	122	130	Petitions to the Commissioner	\$
123	50	123	50	Petitions related to provisional applications	\$
126	180	126	180	Submission of IDS	\$
581	40	81	40	Recording each patent assignment per property (times number of properties)	\$
179	710	279	355	Request for Continued Examination (RCE)	\$
Other fee (specify)					\$
<b>Subtotal (3)</b>					<b>\$ 0</b>
<b>Total Amount of Payment:</b>					<b>\$ 728</b>

### Submitted by:

Name: Steven H. Arterberry

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Signature: *Steven Arterberry*

Date: 8/13/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Scott E. Moore

Attorney Docket No.: 500199.05

Filed : August 13, 2001

Title : METHOD AND APPARATUS FOR PLANARIZING A MICROELECTRONIC  
SUBSTRATE WITH A TILTED PLANARIZING SURFACE

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

Box Patent Application  
Commissioner of Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL673946309US, on August 13, 2001, addressed to Box Patent Application, Commissioner of Patents, Washington, DC 20231.

Respectfully submitted,

DORSEY & WHITNEY LLP

  
Tracy Gutscher

SHA:tdg

Enclosures:

- Postcard
- Check
- Form PTO/SB/05
- Application Data Sheet
- Fee Transmittal Sheet (+ copy)
- General Authorization
- Preliminary Amendment
- Copy of Specification, Claims, Abstract (33 pages)
- Copy of 6 Sheets of Drawings (Figures 1-6)
- Copy of Declaration
- Copy of Election and Power of Attorney
- Copy of Revocation & Substitute Power of Attorney
- Information Disclosure Statement and Form PTO-1449